

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

AOTY. DOCKET NO.: C1039/7057

SERIAL NO.: 09/965,101

APPLICANT: Davis, et al.

FILING DATE: September 26, 2001

GROUP: Not Yet Assigned

	Def			S. PATENT DOCUMENT		Sub	FILING DATE
Exam Init	Ref Des	Document No.	Date	Name	Class	Class)	If Appropriate
_	*A1	3,906,092	09/16/75	Hilleman et al.	424	089	
Ø-	*A2	4,844,904	07/04/89	Hamaguchi et al.	424	450/	
	*A3	4,863,740	09/05/89	Kissel et al.	424	45/0	
+	*A4	4,975,282	12/04/90	Cullis et al.	424	4 50	
	*A5	5,000,959	03/19/91	Iga et al.	424	/ 450	
	*A6	5,248,670	09/28/93	Draper et al.	514	/ 44	
	*A7	5,580,859	12/03/96	Felgner et al.	514	44	
	*A8	5,585,479	12/17/96	Hoke et al.	536	24.5	
-†-	*A9	5,589,466	12/31/96	.Felgner.et.al.	. 514	44	
	*A10	5,663,153	09/02/97	Hutcherson et al.	514	44	_ <i></i>
+	*A11	5,679,647	10/21/97	Carson et al.	514	44	
	*A12	5,723,335	03/03/98	Hutcherson et al.	435	375	
	*A13	5,780,448	07/14/98	Davis et al.	514	44	L
	*A14	5,786,189	07/28/98	Locht et al.	435	172.3	10/04/06
	*A15	5,849,719	12/15/98	Carson et al.	5 1/4	44	10/04/96
	A16	6,194,388 B1	02/27/01	Krieg, et al.			
-	A17	6,207,646 B1	03/27/01	Krieg, et al.			ļ
-+	A18	6,239,116 B1	05/29/01	Krieg, et al.			1
-	A19	6,214,806 B1	04/10/01	Krieg, et al.			<u> </u>
-4	A20	6,218,371 B1	04/17/01	Krieg, et al.			V

FOREIGN PATENT DOCUMENTS

		Country &	Pub.	IGN PATENT BOCOMENTS	T .	Sub	Trans	lation
•	1	Doc. No. (11)	Date (43)		Class	Class /	Yes	No
(A)	*B1	WO 90/11092	10/04/90	PCT - Vical (Felgner)	A61K	48/09		
<u> </u>	*B2	WO 91/12811 .	09/05/91	PCT - Isis Pharmaceuticals (Draper)	A61K	31/7/0		
1	*B3	0468520 A3	01/29/92	EPO - Mitsui Toatsu Chem. (Tokunaga)	A61K	31/70		
+-	*B4	WO 92/03456	03/05/92	PCT - Isis Pharmaceuticals (Anderson)	C07H	15/12		
+-	*B5	WO 92/18522	10/29/92	PCT - Salk Institute (Chu)	C07H	21/00		
+	*B6	WO 92/21353	12/10/92	PCT - Genta (Amold)	A61K	/31/70		
1	*B7	0302758 B1	03/16/94	EPO - NEMC (Androphy)	C12N	15/37		
 	*B8	WO 94/19945	09/15/94	PCT - Isis Phrmaceuticals (Draper)	A01N	43/04		
	*B9	WO 95/05853	03/02/95	PCT - Regents of U. of Cal. (Carson)	A61K/	48/00		
	*B10	WO 95/26204	10/05/95	PCT - Isis Pharmaceuticals (Hutcherson)	A61K	48/00		
	*B11	WO 96/02555	02/01/96	PCT - UIRF (Krieg)	C07/H	21/00		
7	*B12	WO 96/13277	05/09/96	PCT - Regents of U. of Cal. (Carson)	A6/IK	48/00		
1	*B13	WO 96/14074	05/17/96	PCT - Regents of U. of Cal. (Carson)	A/61K	31/70		
.11	*B14	WO 96/35782	11/14/96	PCT - Applied Research Systems (¢12N	15/00		
W	*B15	WO 97/28259	08/07/97	PCT - Regents of U. of Cal. (Carson)	C12N	15/00		Ļ

DATE CONSIDERED **EXAMINER**

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.

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GROUP: Not Yet Assigned

DIV	*B16	WO 98/14210	04/09/98	PCT - Regents of U. of Cal. (Carson)	A61K	39/3/5		
- V P	*B17	WO 98/52581	11/26/98	WIPO	A61K	35/00		<u> </u>
	*B18	WO 99/41368A2	08/19/99	WIPO	CI2N	1/5/10		ļ
	*B19	WO 99/41368A3	08/19/99	WIPO	C12N	/15/10		<u> </u>
	*B20	EP 0773295	05/14/97			<u>/</u>		-
	*B21	WO 98/18810	05/07/98	WIPO	/	<u> </u>		↓
	*B22	WO 98/37919	09/03/98	WIPO		<u> </u>		
	*B23	WO 98/40100	09/17/98	WIPO	_ _/_	 	<u> </u>	
	*B24	WO 98/52581	11/26/98	WIPO		ļ	ļ	
1	*B25	WO 99/51259	10/14/99	WIPO		<u> </u>		
	*B26	WO 99/56755	11/11/99	WIPO		 	ļ	
N/	*B27	WO 99/58118	11/18/99	WIPO		 	 	
V	*B28	WO 99/61056	12/02/99	WIPO		<u> </u>	<u> </u>	

-		OTHER ART
		(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)
DIM	*C1	Adya N et al., Expansion of CREB's DNA recognition specificity by Tax results from interaction with Ala-Ala-Arg at positions 282-284 near the conserved DNA-binding domain of CREB. <i>Proc Natl Acad Sci USA</i> 91(12):5642-6, 7 Jun 1994
	*C2	Allison AC et al., The development of an adjuvant formulation that elicits cell-mediated and humoral immune responses to virus subunit and other antigens. <i>Immunopharmacology of Infections Diseases: Vaccine Adjuvants and Modulators of Non-Specific Resistance</i> , pgs. 191-201, 1987.
+	*C3	Angier N. Microbe DNA seen as alien by immune system, New York Times, 11 April 1995
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·	*C5	Azuma I, Biochemical and immunological studies on cellular components of tubercle bacilli. <i>Kekkaku</i> 69(9):45-55, 1992.
	*C6	Ballas ZK et al., Induction of NK activity in murine and human cells by CpG motifs in oligodeoxynucleotides and bacterial DNA. <i>J Immunol</i> 157(5):1840-5, 1996.
	*C7	Bayever, E et al., Systemic administration of a phosphorothioate oligonucleotide with a sequence complementary to p53 for acute myelogenous leukemia and myelodysplastic syndrome: initial results of a phase I trial. Antisense Res
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	*C9	Berg DJ et al., Interleukin-10 is a central regulator of the response to LPS in murine models of endotoxic snock and the Shwartzman reaction but not endotoxic tolerance. J Clin Invest 96(5):2339-47, 1995.
	*C10	Blanchard DK et al., Interferon-gamma induction by lipopolysaccharide: dependence on interleukin 2 and
	*C11	Blaxter ML et al., Genes expressed in Brugia malayi infective third stage larvae. Molecular and Biochemical
	*C12	Boggs RT et al., Characterization and modulation of immune stimulation by modified oligonucleotides. Anisense
	*C13	Branda RF et al., Amplification of antibody production by phosphorothioate oligodeoxynucleotides. J Lab Clin Med
TV	*C14	Branda RF et al., immune stimulation by an antisense oligomer complementary to the rev gene of HIV-1. <i>Biochemical Pharmacology</i> 45(10):2037-2043, 1993.

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OTTY. DOCKET NO.: C1039/7057

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FORM PTO-1449 (Modified)

APPLICANT: Davis, et al.

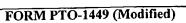
FILING DATE: September 26, 2001

GROUP: Not Yet Assigned

		OTHER ART
		(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)
DM	*C15	Briskin M et al., Lipopolysaccharide-unresponsive mutant pre-B-cell lines blocked in NF-kappa B activation. <i>Mol Cell Biol</i> 10(1):422-5, Jan 1990.
1	*C16	Burgess TL et al., The antiproliferative activity of c-myb and c-myc antisense oligonucleotides in smooth muscle cells is caused by a nonantisense mechanism. <i>Proc Natl Açad Sci USA</i> 92(9):4051-5, 1995.
	*C17	Chace J et al., Regulation of differentiation in CD5+ and conventional B cells. Clinical Immunology and Immunopathology 68(3):327-332, 1993.
	*C18	Chang YN et al., The palindromic series I repeats in the simian cytomegalovirus major immediate-early promoter behave as both strong basal enhancers and cyclic AMP response elements. J Virol 64(1):264-77, Jan 1990.
	*C19	Chu RS et al., CpG oligodeoxynucleotides act as adjuvants that switch on T helper 1 (Th1) immunity. J Exp Med 186(10):1623-31, 17 Nov 1997.
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	*C26	Davis HL et al., CpG DNA is a potent enhancer of specific immunity in mice immunized with recombinant hepatitis B surface antigen. Immunol 160(2):870-6, 1998.
	*C27	Davis HL et al., Direct gene transfer into skeletal muscle in vivo: factors affecting efficiency of transfer and stability of expression. Hum Gene Ther 4(2):151-9, 1993.
	*C28	Davis HL et al., DNA vaccine for hepatitis B: evidence for immunogenicity in chimpanzees and comparison with other vaccines. <i>Proc Natl Acad Sci USA</i> 93(14):7213-8, 1996.
	*C29	Davis HL et al., DNA-based immunization induces continuous secretion of hepatitis B surface antigen and high levels of circulating antibody. <i>Hum Mol Genet</i> 2(11):1847-51, 1993.
	*C30	Davis HL, Plasmid DNA expression systems for the purpose of immunization. Curr Opin Biotechnol 8(5):635-46,
	*C31	Doe B et al., Induction of cytotoxic T lymphocytes by intramuscular immunization with plasmid DNA is facilitated by bone marrow-derived cells. <i>Proc Natl Acad Sci USA</i> 93:8578-8583, 1996.
	*C32	Englisch U et al., Chemically modified oligonucleotides as probes and inhibitors, Angew Chem Int Ed Engl 30:613-
	*C33	Erb KJ et al., Infection of mice with Mycobacterium bovis-Bacillus Calmette-Guerin (BCG) suppresses allergen- induced airway eosinophilia. J Exp. Med 187(4):561-9, 16 Feb 1998.
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1	*C35	Etlinger HM, Carrier sequence selection - one key to successful vaccines. Immunology Today 13(2):52-55, 1992.
	*C36	Fox RI, Mechanism of action of hydroxychloroquine as an antirheumatic drug. Chemical Abstracts, 120:15, Abstract
	*C37	Fynan EF et al., DNA vaccines: protective immunizations by parenteral, mucosal, and gene-gun inoculations. <i>Proc</i>
7	*C38	Gramzinski RA et al., Immune response to a hepatitis B DNA vaccine in <i>Aotus</i> monkeys: a comparison of vaccine formulation, route, and method of administration. <i>Mol Med</i> 4(2):109-18, 1998.

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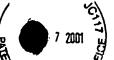
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OAP	*C39	Gura T Antisense Has Growing Pains. Science 270:575-576, 1995.
1/01/	*C40	Hadden JW et al., Immunopharmacology: immunomodulation and immunotherapy. JAMA 268(20):2964-2969, 1992.
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	*C42	Halpern MD et al., Bacterial DNA induces murine interferon-gamma production by stimulation of interleukin-12 and
-	*C43	Harms JS and Splitter GA, Interferon-gamma inhibits transgene expression driven by SV40 or CMV promoters but
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	*C49	Ishikawa R et al., IFN induction and associated changes in splenic leukocyte distribution. <i>J Immunol</i> 150(9):3713-27, 1 May 1993.
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-	*C52	Jaroszewski JW and Cohen JS, Cellular uptake of antisense oligonucleotides. Adv Drug Delivery Rev 6(3):235-50,
	*C53	Kimura Y et al., Binding of oligoguanylate to scavenger receptors is required for oligonucleotides to augment NK cell activity and induce IFN 1. Rinchem 116(5):991-994, 1994.
1	*C54	Kline JN et al., CpG motif oligonucleotides are effective in prevention of eosinophilic inflammation in a murine
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	*C56	Kline JN et al., Immune redirection by CpG oligonucleotides. Conversion of a Th2 response to a Th1 response in a murine model of asthma. <i>J Invest Med</i> 45(3):282A, 1997.
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	*C60	Krieg AM et al., CpG DNA: A pathogenic factor in systemic lupus erythematosus? J Clin Immunol 15(6):284-292,
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FORM PTO-1449 (Modified)

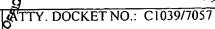
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$-\!$		Krieg AM et al., The role of CpG dinucleotides in DNA vaccines. Trends in Microbiology 6:23-27, Jan 1998.					
	*C66	Krieg AM et al., Uptake of oligodeoxyribonucleotides by lymphoid cells is heterogeneous and inducible. Antisense					
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	Krieg AM, An innate immune defense mechanism based on the recognition of CpG motifs in microbial DNA. J Lab						
	*C68	Clin Med 128(2):128-33, 1996.					
	+000	Kuramoto E et al., Oligonucleotide sequences required for natural killer cell activation. Jpn J Cancer Res 83:1128-					
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	*C70	the immunostimulatory effect of plasmid DNA. Cell Immunol 179(2):97-106, 1997.					
<u> </u>	+671	Leonard GA et al., Conformation of guanine 8-oxoadenine base pairs in the crystal structure of					
]	*C71	d(CGCGAATT(O8A)GCG). Biochemistry 31(36):8415-8420, 1992.					
 	*C72	Lipford GB et al., CpG-containing synthetic oligonucleotides promote B and cytotoxic T cell responses to protein					
! !	-C/2	antigen: a new class of vaccine adjuvants. Eur J Immunol 27(9):2340-4, 1997.					
$\vdash\vdash$	*C73	Liu MA et al., Immunization of non-human primates with DNA vaccines. Vaccine 15(8):909-12, 1997.					
	*C74	Macfarlane DE and Manzel L, Antagonism of immunostimulatory CpG-oligodeoxynucleotides by quinacrine,					
1 1	1.074	chloroguine, and structurally related compounds. J Immunol 160(3):1122-31, 1 Feb 1998.					
$\vdash \vdash$	*C75	Mannino RJ et al., Lipid matrix-based vaccines for mucosal and systemic immunization. Vaccine Design: The					
	6/3	Subunit and Adjuvant Approach, Chapter 15, pp. 363-387, 1995.					
\vdash	*C76	Mastrangelo MI et al., Gene therapy for human cancer. Seminars in Oncology 23(1):4-21, 1996.					
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-	0,,	1 4 diamage Day 2(4):325-30 Winter 1992					
 	*C78	Meinture K.W. et al. A sense phosphorothioate oligonucleotide directed to the initiation codon of transcription factor					
1 [0.0	NE tenno D n65 causes sequence-specific immune stimulation. Antisense Res Dev 3(4):309-22, Willet 1993.					
 	*C79	Messina JP et al., Stimulation of <i>in vitro</i> murine lymphocyte proliferation by bacterial DNA. <i>J Immunol</i> 147(6):1759-					
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1	*C80	Messina JP et al., The influence of DNA structure on the in vitro stimulation of murine lymphocytes by natural and					
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H+	*C85	Pisetsky DS and Reich C, Stimulation of in vitro proliferation of murine lymphocytes by synthetic					
111		alice de avyrus le otides Mal Rial Rep. 18(3):217-221, 1993.					
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V.	1	with antisense activity for herpes simplex virus. Life Science 54:101-107, 1994.					
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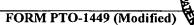
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<u> </u>	<u></u>	OTHER ART
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MY	*C88	Pisetsky DS, The immunologic properties of DNA. J Immunol 156(2):421-423, 1996.
W _	*C89	Prince AM et al., Successful nucleic acid based immunization of newborn chimpanzees against hepatitis B virus. Vaccine 15(8):916-9, 1997.
	*C90	Raz E et al., Intradermal gene immunization: the possible role of DNA uptake in the induction of cellular immunity to viruses. <i>Proc. Natl. Acad. Sci. USA</i> 91(20):9519-23, 1994.
	*C91	Raz E et al., Preferential induction of a Th1 immune response and inhibition of specific IgE antibody formation by plasmid DNA immunization. <i>Proc Natl Acad Sci USA</i> 93(10):5141-5, 14 May 1996.
-	*C92	Roman M et al., Immunostimulatory DNA sequences function as T helper-1-promoting adjuvants. <i>Nat Med</i> 3(8):849-54. Aug 1997.
	*C93	Sato Y. et.al., Immunostimulatory DNA sequences necessary for effective intradermal gene immunization. Science 273(5273):352, 19 July 1996.
	*C94	Schnell N et al., Identification and characterization of a Saccharomyces cerevisiae gene (PAR1) conferring resistance to iron chelators. Eur. J. Biochem. 200:487-493, 1991.
	*C95	Schwartz DA et al., CpG motifs in bacterial DNA cause inflammation in the lower respiratory tract. J Clin Invest 100(1):68-73, 1 Jul 1997.
	*C96	Schwartz DA et al., Endotoxin responsiveness and grain dust-induced inflammation in the lower respiratory tract. Am J. Physiol 267(5 Pt 1):L609-17, 1994.
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TTY. DOCKET NO.: C1039/7057

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FOR APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

APPLICANT: Davis, et al.

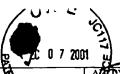
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LIST OF PATENTS AND PUBLICA PROBLEMS
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EXAMINER	M(DATE CONSIDERED	116)& O4
EXAMINER: Initial if refer	ence considered,	whether or not citation	is in conformance with MPEP	609; Draw lin	e through citation if not
in conformance and not con	isidered.				,